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1631

ttorney Docket No. SABI-001/03US (S2-US4)

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### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COX III et al. In re application of

Serial No.:

Examiner: JOHN BRUSCA 09/897,844

Confirmation No.: Art Unit: 1631 2083

Filed: July 2, 2001

For: REGULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS USING

ZINC FINGER PROTEINS

Commissioner for Patents Washington, D.C. 20231

#### INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Enclosed is an Information Disclosure Statement and accompanying Form PTO/SB/08A for the above-identified patent application.

| [X] | the IDS is req | with 37 C.F.R. §1.97(b), no additional fee for submission of uired. |
|-----|----------------|---|
| []  | In accordance  | with 37 C.F.R. §1.97(c), also enclosed is:                          |
|     | []             | the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or          |

a statement as specified in 37 C.F.R. §1.97(e).

- П In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. § 1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- Check No. \_\_ in the amount of \$\_\_ for the total fee is attached.
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### Attorney Docket No. SABI-001/03US (S2-US4) Serial No. 09/897,844 Page 2

[] Please charge \$\_\_ to Deposit Account No. 03-3117 for the total fee. This paper is being submitted in duplicate.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 03-3117.

Dated: 16 April 03

Cooley Godward LLP ATTN: Patent Group Five Palo Alto Square 3000 El Camino Real Palo Alto, CA 94306-2155

Tel: (650) 843-5000 Fax: (650) 857-0663 Respectfully submitted, COOLEY GODWARD LLP

By:

Dahna S. Pasternak Reg. No. 41,411 Rev. 03/19/2003

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SABI-001/03US (S2-US4)

TECH CENTER 1600/2900 ATENT

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COX III et al. In re application of

09/897,844 Serial No .:

JOHN BRUSCA Examiner:

2083 Confirmation No.:

Art Unit:

1631

Filed:

July 2, 2001

For:

REGULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS USING

ZINC FINGER PROTEINS

Commissioner for Patents Washington, D.C. 20231

### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(b)

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56, Applicant(s) hereby submits the following information in conformance with 37 C.F.R. §§1.97 and 1.98.

- Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached [X]Form PTO/SB/08 is enclosed.
- No copies of the publications listed on the attached Form PTO/SB/08A are []being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. \_\_\_ to which the above-identified application claims priority under 35 U.S.C. §120.
- Publication(s) \_\_\_ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to \_\_\_ application serial no. \_\_\_ and mailed on \_\_\_.

| []   | Enclosed is a copy of a non-English publication(s) Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s). |  |  |  |  |  |  |  |  |
|--|---|--|--|--|--|--|--|--|--|
| []   | Enclosed is a copy of a non-English publication(s) English language publication (copy enclosed) claims priority from this non-English publication.  |  |  |  |  |  |  |  |  |
| []   | Enclosed is an explanation of non-English publication(s) for which an English translation is not available.   |  |  |  |  |  |  |  |  |
| []   | Enclosin the a  | Enclosed is an English translation of non-English publication(s)cited in the attached Form PTO/SB/08A. |  |  |  |  |  |  |  |
| []   | Enclos  | ed is a copy of pending patent A   | application Serial No                      |  |  |  |  |  |  |
| This I time periods:   | This Information Disclosure Statement is filed within any one of the following time periods:  |  |  |  |  |  |  |  |  |
|  | [] within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);  |  |  |  |  |  |  |  |  |
|  | [] within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;   |  |  |  |  |  |  |  |  |
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|  | [] before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.   |  |  |  |  |  |  |  |  |
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| information  | and retu  | m an initialed copy of the attach  | ed Form PTO/SB/08A to the                  |  |  |  |  |  |  |
| undersigned.   |   |  |  |  |  |  |  |  |  |
| Dated: 6   | April   | 03   | Respectfully submitted, COOLEY GODWARD LLP |  |  |  |  |  |  |
| Cooley Godward LLP ATTN: Patent Group Five Palo Alto Square 3000 El Camino Real Palo Alto, CA 94306-2155 Tel: (650) 843-5000 Fax: (650) 857-0663  By: Dahna S. Pasternak Reg. No. 41,411 |   |  |  |  |  |  |  |  |  |
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### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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| T & THA                | Complete if Known      | 100         |
|------------------------|------------------------|-------------|
| Application Number     | 09/897,844             | APR 2 2     |
| Filing Date            | July 2, 2001           | 2003        |
| First Named Inventor   | COX III                | IECH CENT   |
| Group Art Unit         | 1631                   | UEIVIFR 100 |
| Examiner Name          | JOHN BRUSCA            | -11 1000/20 |
| Attorney Docket Number | SABI-001/03US (S2-US4) |             |

| U.S. PATENT DOCUMENTS |  |              |          |                                   |   |                     |  |
|-----------------------|--|--------------|----------|-----------------------------------|---|---------------------|--|
|                       |  | U.S. Patent  | Document |                                   | Date of Publication of Cited                    |                     |  |
| Examiner<br>Initials* | Examiner<br>Initials*                            | Cite<br>No.1 | Number   | Kind Code <sup>2</sup> (if known) | Name of Patentee or Applicant of Cited Document | Document MM-DD-YYYY |  |
|                       | A1   | 6,140,081    | Α        | Barbas                            | 10-31-2000                                      |                     |  |
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| FOREIGN PATENT DOCUMENTS |              |                           |                     |                                      |  |                              |                |  |  |
|--------------------------|--------------|---------------------------|---------------------|--------------------------------------|--|------------------------------|----------------|--|--|
| Examiner<br>Initials*    | Cite<br>No.1 | Tolcigii I atcht Document |                     | cument                               | Name of Patentee or Applicant of Cited | Date of Publication          |                |  |  |
|                          |              | Office <sup>3</sup>       | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(if known) | Document                               | of Cited Document MM-DD-YYYY | T <sup>6</sup> |  |  |
|                          | BI           | wo                        | 02/066640           | A2                                   | Novartis AG                            | 08-29-2002                   |                |  |  |
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| Examiner  | Date           |   |      |      |
|-----------|----------------|---|------|------|
| Signature | <br>Considered | 1 | <br> | <br> |
|           |                |   | <br> |      |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number.
<sup>2</sup> See attached Kinds of U.S. Patent Documents.

<sup>&</sup>lt;sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>&</sup>lt;sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

<sup>&</sup>lt;sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.